

# Archived Information

## Grants for the Carol M. White Physical Education Program CFDA # 84.215F

### Information and Application Procedures for Fiscal Year 2003

OMB No. 1890-0009

Expiration Date: 6/30/2005

**Application Deadline: May 12, 2003**



*Frequently Asked Questions*  
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**U.S. Department of Education  
Office of Safe and Drug-Free Schools**

April 1, 2003

Dear Colleague:

Thank you for your interest in applying for a grant under the Carol M. White Physical Education Program.

This program is authorized by the Elementary and Secondary Education Act (ESEA) as amended by the No Child Left Behind Act (NCLB) of 2001. NCLB represents the President's education reform plan and contains four basic principles: stronger accountability for results, increased flexibility and local control, expanded options for parents, and an emphasis on teaching methods and other strategies that have been proven to work.

The Carol M. White Physical Education Program supports the President's vision by helping students make progress toward meeting state standards for physical education. We know that nearly half of young people between the ages of 12 and 21 are not vigorously active on a regular basis. Through this program, we expect that students will learn to understand, improve or maintain their physical well-being and develop habits of physical activity that will support a lifelong healthy lifestyle.

We look forward to receiving your application for support under the Carol M. White Physical Education Program.

Cordially,

Judge Eric Andell  
Deputy Under Secretary

## **Application for Grants**

### **Office of Safe and Drug-Free Schools Carol M. White Physical Education Program**

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**Overview**

We will award grants under this competition to local educational agencies and community-based organizations to initiate, expand, or improve physical education programs, including after-school programs, for students in one or more grades from kindergarten through 12<sup>th</sup> grade in order to help students make progress toward meeting state standards for physical education

**Authority**

The authority for this program is found in 20 U.S. C. 7261.

**Note to Applicants**

This is a complete application package for the Carol M. White Physical Education Program. Together with the statute authorizing the program and the Education Department General Administrative Regulations (EDGAR) governing the program, this package contains all of the information, application forms, and instructions needed to apply for this grant.

The official document governing this competition is the Closing Date Notice published in the Federal Register on April 1, 2003. This notice also is available electronically at: [www.ed.gov/legislation/FedRegister](http://www.ed.gov/legislation/FedRegister) and [www.access.gpo.gov/nara](http://www.access.gpo.gov/nara).

Applicants should clearly indicate in Block #4 of the Standard Form 424, the CFDA number and alpha suffix of this competition, 84.215F.

**Applicable Regulations**

The following Education Department General Administrative Regulations (EDGAR) apply to the competition described in this application package:

- 34 CFR Part 75 (Direct Grant Programs)
- 34 CFR Part 77 (Definitions that Apply to Department regulations)
- 34 CFR Part 79 (Intergovernmental Review of Department of Education Programs and activities)
- 34 CFR Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments)
- 34 CFR Part 81 (General Education Provisions Act—Enforcement)
- 34 CFR Part 82 (New Restrictions on Lobbying)
- 34 CFR Part 85 (Government wide Debarment and Suspension (Nonprocurement) and Government side Requirements for Drug-Free Workplace Grants)
- 34 CFR Part 97 (Protection of Human Subjects)
- 34 CFR Part 98 (Student Rights in Research, Experimental Programs, and Testing)
- 34 CFR Part 99 (Family Educational Rights and Privacy)

**Eligibility**

Eligible applicants are local educational agencies (LEAs) and community-based organizations (CBOs), including faith-based organizations provided that they meet the applicable statutory and regulatory requirements.

**Project Period**

The project period for this grant is 12 months.

**Estimated Range of Awards**

We estimate that we will make 198 awards. Projects will be funded for approximately \$100,000 to \$500,000 depending on the scope of the project. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant.

**Application Due Date**

All applications must be postmarked on or before May 12, 2003, in order to be eligible for review. Applications delivered by hand must be received by the U.S. Department of Education Application Control Center no later than 4:30 PM Eastern Standard Time (EST) on May 12, 2003. Applications may also be submitted electronically through the Department's e-Applications pilot. Applications may not be emailed or faxed.

Under very extraordinary circumstances, the Department may change the closing date for a competition. When this occurs, we announce such a change in a notice published in the Federal Register. Waivers for individual applications failing to meet the deadline will not be granted, regardless of the circumstances.

**Form Applications**

An application under this program should address the specific needs of the population that the applicant proposes to serve and activities should be designed to meet those needs. As a result, we strongly discourage applicants from using "form" applications or proposals that do not address the identified needs of their student population or that fail to provide a clear plan for helping students meet State standards for physical Education.

**Grantee Meetings**

All applicants must budget for yearly attendance by two persons at the annual grantee meeting and the OSDFS National Conference. These meetings will usually be held in Washington, DC. Grant funds may be used to pay for all costs associated with attendance at these meetings including transportation, hotel, and per diem.

**Paperwork Burden Statement**

According to the paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the information collection is OMB No. 1890-0009. The time required to complete the information collection is estimated to average 24 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Office of Safe and Drug-Free Schools, U.S. Department of Education, 400 Maryland Avenue, SW Room 3E318, Washington, DC 20202-6123.

## **I. The GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)**

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report its progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

**GOAL 1:** Create a culture of achievement.

**GOAL 2:** Improve student achievement.

**GOAL 3:** Develop Safe Schools and Strong Character.

**GOAL 4:** Transform Education into an Evidence-Based Field.

**GOAL 5:** Enhance the quality and access to Postsecondary and Adult Education.

**GOAL 6:** Establish Management Excellence.

The Secretary may choose to develop performance indicators for the Carol M. White Physical Education Program. If indicators are developed, grantees will be asked to provide information that relates to participant outcomes and project management.

In the absence of specific performance indicators, however, grantees are expected to develop and implement evaluation plans capable of demonstrating the impact the grant funds have had on target populations and relevant project objectives, for example, student behavior changes as a direct result of the funded program.

## **II. TIPS FOR APPLICANTS**

### **A. Before You Begin**

- Read this application package carefully and make sure you follow all of the instructions.
- Use the tools we have provided to help you, including:
  - frequently asked questions in this application package; and
  - how to apply for a grant on our Web site at [www.ed.gov/offices/OSDFS](http://www.ed.gov/offices/OSDFS).
- Ask questions of the program contact if you don't understand how to proceed. Technical assistance is available to help you understand what is and is not allowable under this program.

### **B. Preparing Your Application**

- Be thorough in your program description. Write so that someone who knows nothing about your organization or your program plan can understand what you are proposing.
- Organize your application according to the selection criteria and respond comprehensively.
- Make sure your budget narrative provides enough detail about planned expenditures so staff can easily determine how the funds will be spent.
- Link your planned expenditures to the goals and objectives of your program. and make sure you demonstrate that your proposed expenditures are necessary to carry out your program. Do not request funds for miscellaneous purposes.

### **C. Submitting Your Application**

- Use the checklist provided in this application package to make sure your application is complete before submitting it.
- Make sure all required forms are included and signed by an authorized representative of your organization.
- Transmit your application by the deadline date. If you use the U.S. Postal Service, make sure you have a legible postmark date. If you use an overnight carrier, get a receipt. If you use e-applications, follow the instructions on the e-Application Web site.

### **D. What Happens Next?**

- In approximately two weeks (depending on the volume of applications) you should receive a postcard from ED's Application Control Center acknowledging receipt of your application and giving you an assigned number. Please refer to this number if you need to contact us about your application.
- OSDFS staff screen each application to ensure that all program eligibility requirements are met and all forms are included.
- Your application will be assigned to a three-person panel of peer reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your application will receive a score from 0 to 100 depending upon how well you respond to the requirements of the selection criteria.
- A grant award document will be sent to applicants whose proposals score within the funding range. Unsuccessful applicants will receive a notification letter. Both successful and unsuccessful applicants will receive copies of the comments prepared by the peer reviewers.

### III. INFORMATION AND REQUIREMENTS

#### A. Background

Many of the major health problems we face today are preventable and may be attributable to a few types of behaviors, including those behaviors that lead to injuries (accidents and violence), such as drug and alcohol abuse including tobacco use, poor nutrition, and insufficient physical activity.

More children are developing habits that lead to unhealthy lifestyles—watching more television, exercising less and becoming overweight. Findings from a recent report from the Surgeon General's Office<sup>1</sup> indicate nearly half of American youths 12-21 years of age are not vigorously active on a regular basis. Moreover, physical activity declines dramatically during adolescence. Other key findings include:

- People of all ages, both male and female, benefit from regular physical activity.
- Significant health benefits can be obtained by including a moderate amount of physical activity (e.g., 30 minutes of brisk walking or raking leaves, 15 minutes of running, or 45 minutes of playing volleyball) on most, if not all, days of the week. Through a modest increase in daily activity, most Americans can improve their health and quality of life.
- Additional health benefits can be gained through greater amounts of physical activity. People who can maintain a regular regimen of activity that is of longer duration or of more vigorous intensity are likely to derive greater benefit.
- Physical activity reduces the risk of premature mortality in general, and of coronary heart disease, hypertension, colon cancer, and diabetes mellitus in particular. Physical activity also improves mental health and is important for the health of muscles, bones, and joints.

In addition to issues of health and wellness, preliminary research indicates a direct link between physical activity and improved academic performance. Studies have found that participation in physical activity increases adolescents' self esteem, as well as physical and mental health. They also are less likely to be regular or heavy smokers or use drugs or alcohol and more likely to stay in school, have good conduct, and high academic achievement.

Unlike the competitive focus of physical education a few years ago, today the goals of both health education and physical education focus more on the development of the whole person. Greater emphasis is placed on the health and wellness of the total human being rather than on the acquisition of skill in specific sports. For example, children may be adept at kicking, dribbling, and passing. However, these skills do not necessarily mean they will be able to successfully play a game of soccer. Children may display relatively advanced physical skills but not be successful in sports because they lack sufficient social development to understand the need to work together as a team. Taken together, these concepts embody what has come to be called the "New PE."<sup>2</sup>

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<sup>1</sup> *Physical Activity and Health: A Report of the Surgeon General*. Atlanta, GA: U.S. Department of Health and Human Services, Centers for Disease Control and Prevention, National Center for Chronic Disease Prevention and Health Promotion: 1996.

<sup>2</sup> National Association for Sport and Physical Education. *Moving Into the Future: national Standards for Physical Education*. St. Louis CV Mosby, 1995.



The National Association of Sports and Physical Education (NASPE) in its report *Shape of the Nation 2000* identified key areas of concern in improving the health of children. The following objectives were identified.<sup>3</sup>

1. Increase the proportion of the nation's public and private schools that require daily physical education for all students.
2. Increase the proportion of adolescents who participate daily in physical education classes.
3. Increase the proportion of adolescents who spend at least 50 percent of school physical education class time being physically active.

The report also recommended that elementary students have at least 60 minutes of moderate to vigorous activity every day while middle and high school students should have a minimum of 30 minutes of exercise every day.

### **State Standards in Physical Education**

In addressing the "New PE", most States and Territories have begun to reassess their minimum physical education requirements, identifying State standards in physical education designed to address the major components of a high quality physical education program by providing all students the opportunity to learn meaningful course content and age-level appropriate instruction.

Standards for most States are available at the following link:

[www.pelinks4u.org/links/statestandards.htm](http://www.pelinks4u.org/links/statestandards.htm)

The following States are not listed on this site and should be contacted at the following web sites for information on their specific requirements for physical education:

1. Alabama: [www.alsde.edu/html/sections/doc\\_download.asp?secs+34&id=410](http://www.alsde.edu/html/sections/doc_download.asp?secs+34&id=410)
2. Arkansas: [www.arkedu.state.ar.us/pdf/pe\\_and\\_health.pdf](http://www.arkedu.state.ar.us/pdf/pe_and_health.pdf)
3. Delaware: [www.doe.state.de.us/Standards/PhysEducation/Pecontstnd.pdf](http://www.doe.state.de.us/Standards/PhysEducation/Pecontstnd.pdf)
4. Georgia: [www.glc.k12.ga.us/passwd/search/srchqcc/Standard.asp?keywords=Sview=K&subjectID=22](http://www.glc.k12.ga.us/passwd/search/srchqcc/Standard.asp?keywords=Sview=K&subjectID=22)
5. New Hampshire: [www.ed.state.nh.us](http://www.ed.state.nh.us)

The following States currently will have to be contacted directly for their physical education standards:

1. **District of Columbia**  
Dr. Paul Ruiz  
Chief Academic Officer  
D.C. Board of Education  
Telephone: (202) 442-5599
2. **Maryland**  
Ms. Trudy Collier  
Director of Curriculum  
Maryland Department of Education  
Telephone: (410) 767-0341

<sup>3</sup> National Association for Sport and Physical Education, *Shape of the Nation, 2000*.

3. **Ohio**  
Ms. Diane Tomer  
OAPHERD  
Telephone: 1(800) 828-3468

3. **Puerto Rico**  
Dr. Jose Altieri  
Puerto Rico Department of Education  
Telephone: (787) 759-2000 x3369

**All applications submitted for a grant under this program must describe a plan to help students meet state standards for physical education. If your State does not have standards for physical education, you may select the standards of another State. You may not substitute national standards.**

## **B. Definitions:**

The following definitions apply to this competition.

A local educational agency (LEA) is defined as:

(1) A public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary or secondary schools in a city, county, township, school district, or other political subdivision of a State, or for such combination of school districts or counties as are recognized in a State as an administrative agency for its public elementary or secondary schools.

(2) The term includes any other public institution or agency having administrative control and direction of a public elementary or secondary school.

(3) The term includes an elementary or secondary school funded by the Bureau of Indian Affairs but only to the extent that such inclusion makes such school eligible for programs for which specific eligibility is not provided to such school in another provision of law and such school does not have a student population that is smaller than the student population of the local educational agency receiving assistance under this chapter with the smallest student population, except that such school shall not be subject to the jurisdiction of any State educational agency other than the Bureau of Indian Affairs [20 U.S.C. 8011 (18)].

(4) The term includes educational service agencies and consortia of those agencies.

(5) The term includes the State educational agency in a State in which the State is the sole educational agency for all public schools.

Community-based organization (CBO) means a public or private nonprofit organization of demonstrated effectiveness that:

- (1) is representative of a community or significant segments of a community; and
- (2) provides educational or related services to individuals in the community.

Nonprofit as it applies to an agency, organization or institution, means that it is owned and operated by one or more corporations or associations whose net earnings do not benefit, and cannot lawfully benefit, any private shareholder or entity.

Novice applicants are entities that:

- (1) have never received a grant or sub-grant under the Carol M. White Physical Education Program;
- (2) have never been a member of a group application submitted in accordance with Sections 75.127-75.129 of EDGAR that received a grant under the Carol M. White Physical Education Program; and
- (3) have not had an active discretionary grant from the Federal Government in the five years before the deadline date for applications under this competition.

## **C. Statutory Requirements**

### **Eligible Applicants**

Eligible applicants for this program are local educational agencies (LEAs), and community-based organizations (CBOs), (including faith-based organizations that meet the definition of CBO). Examples of community-based organizations include Boys and Girls Clubs, Boy Scouts and Girl Scouts and the Young Men's Christian Association (YMCA) or the Young Women's Christian Association (YWCA).

### **Program Authorization**

The statute authorizes grants to local educational agencies and community-based organizations (which may include faith-based organizations) to pay 90 percent of the total costs of initiating, expanding, and improving physical education programs designed to assist the students in making progress toward meeting State standards for physical education by providing funds for training and education of teachers and staff, and for equipment and support, to enable students in one or more grades kindergarten through 12 to participate actively in physical education activities. Awards may be made to local educational agencies and community-based organizations (such as Boys and Girls Clubs, Boy Scouts, and the Young Men's Christian Association (YMCA) and Young Women's Christian Association (YWCA) to pay the Federal share of the costs of initiating, expanding, and improving physical education programs (including after-school programs) for kindergarten through 12<sup>th</sup> grade students by—

- (1) providing equipment and support to enable students to participate actively in physical education activities; and
  - (2) providing funds for staff and teacher training and education
- in order to make progress toward meeting State standards for physical education.

### **Program Elements**

A physical education program funded by the Carol M. White Physical Education Program may provide for one or more of the following:

- (1) Fitness education and assessment to help students understand, improve, or maintain their physical well-being.
- (2) Instruction in a variety of motor skills and physical activities designed to enhance the physical, mental, or social or emotional development of every student.
- (3) Development of, and instruction in, cognitive concepts about motor skill and physical fitness that support a lifelong healthy lifestyle.
- (4) Opportunities to develop positive social and cooperative skills through physical activity participation.

- (5) Instruction in healthy eating habits and good nutrition.
- (6) Opportunities for professional development for teachers of physical education to stay abreast of the latest research, issues, and trends in the field of physical education

### **Cap on Administrative Costs**

The authorizing statute requires that not more than 5 percent of the grant funds made available to an LEA or CBO under this program in any fiscal year may be used for administrative costs.

### **Supplement, Not Supplant**

Grant funds awarded under this program must be used to supplement and not supplant other Federal, State, and local funds available for physical education activities. Under the supplement not supplant provision, in accordance with Section 75.563 of EDGAR applicants must use a restricted indirect cost rate computed under Sections 75.564-76.569 of EDGAR.

### **Special Rule**

Grant funds made available under this program shall not be used to support extracurricular activities such as team sports and Reserve Officers' Training Corps (ROTC) program activities.

### **Distribution of Grant Awards**

In making awards under this grant program, we will ensure, to the extent practicable, an equitable distribution of awards among applicants serving urban and rural areas. Contingent upon the availability of funds, additional awards may be made in FY 2004 from the rank-ordered list of non-funded applications from this competition.

### **Matching Requirement**

The authorizing statute requires that the Federal share for grants under this program for first-time grantees may not exceed 90 percent of the total cost of a project. For applicants successful under a previous PEP competition the Federal share may not exceed 75% of the total cost of a project. The following example shows how to calculate your share of the costs:

Federal Recommended Amount	X	Applicant's Share (%) of Total cost of the project	=	Applicant Matching Amount
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Federal Share (%) of the total cost of the project

Example: The applicant's cost share requirement is 10% of the total cost of the project and the amount the applicant wants from OSDFS is \$150,000.

$$\frac{\$150,000 \times .10}{.90} = \$16,667$$

Adding the two amounts together, the total cost of the project is \$166,667, of which the applicant is required to pay \$16,667.

### **Participation of Students Schooled at Home or in Private Nonprofit Schools**

An applicant for funds under this program may provide for the participation of home-schooled students, and their parents and teachers, or students enrolled in private nonprofit elementary schools or secondary schools, and their parents and teachers. Applicants are not required to propose services for these groups.

### **D. Novice Applicants**

Up to 25 percent of available funds are reserved for grants to novice entities submitting high-quality applications. Applications submitted by eligible novice entities will be read, scored, ranked, and considered for funding separately from applications submitted by non-novice eligible entities.

To be eligible to receive consideration as a novice, novice applicants must check “yes” under Item #6 on the Application for Federal Education Assistance (ED Form 424). By checking “yes”, applicants certify that they meet the novice applicant requirements in EDGAR.

In case of a group or collaborative effort between eligible parties, in accordance with EDGAR 75.127-75.129, all members of the group must meet the novice applicant definition. By checking the “yes” box for Item #6 on the ED Form 424, the lead agency is certifying that all members of the group meet the novice applicant requirements. Further, in accordance with EDGAR (Section 75.128) all members of the group must enter into an agreement that binds each member of the group to every statement and assurance in the application. A copy of this agreement must be submitted with the application.

**Note: A grant is active until the end of the grant’s project or funding period, including any extensions of those periods that extend the grantee’s authority to obligate funds.**

### **Maximum Award for Novice Applicants.**

The maximum award for which a novice applicant may apply is \$150,000. Applications submitted for consideration under the novice provisions that request funding in excess of \$150,000 will be read in the pool of applications submitted by non-novice entities.

## **IV. PRIORITY AND SELECTION CRITERIA**

### **A. Statutory Priority**

We will award grants to LEAs and CBOs to pay the Federal share of the costs of initiating, expanding, or improving physical education programs (including after-school programs) for kindergarten through 12<sup>th</sup> grade students by—

- (1) providing equipment and support to enable students to participate actively in physical education activities, and
- (2) providing funds for staff and teacher training and education, in order to make progress toward meeting State standards for physical education.

### **B. Selection Criteria**

We use the following selection criteria to evaluate applications for new grants under this competition. The maximum score for all of these criteria is 100 points. The maximum score for each criterion is indicated in parentheses.

#### **1. Need for project (25 points)**

In determining the need for the proposed project the following factor is considered:

- (a) The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses.

(Note: The specific gaps or weaknesses we will be looking for are gaps and weaknesses in meeting State standards for physical education.)

#### **2. Significance (25 points)**

In determining the significance of the proposed project, we will consider the following factors:

- (a) The likelihood that the proposed project will result in system change or improvement.
- (b) The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies.
- (c) The importance or magnitude of the results or outcomes likely to be attained by the proposed project, especially improvements in teaching and student achievement.

(Note: Under this criterion we will be looking at the applicant's approach to an integrated set of planned, sequential strategies and activities designed to help students understand, improve, or maintain their physical well-being and promote professional development for teachers of physical education.)

### **3. Quality of the Project Design (25 points)**

In determining the quality of the project design, we will consider the following factors:

- (a) The extent to which the proposed activities constitute a coherent, sustained program of training in the field.
- (b) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.
- (c) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

(Note: Under this criterion we will be looking at the quality of the applicant's plan to help students make progress toward meeting State standards for physical education, including the linkage between proposed activities and State standards.)

### **4. Quality of the Project Evaluation (25 points)**

In determining the quality of the project evaluation, we will consider the following factors:

- (a) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.
- (b) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

## V. APPLICATION CONTENTS

### A. Preparing the Application

A completed application for assistance under this competition consists of two parts:

- (1) all forms and assurances that must be submitted in order to receive a grant, and
- (2) a detailed narrative description of the proposed project and a detailed narrative of the supporting budget.

### B. Organizing the Application

We recommend that applicants organize the information in their application in the following order. All pages should be numbered consecutively to make review and evaluation easier.

**1. ED Form 424.** This is the title page of your application. Make sure that block 4 identifies the number of this competition: CFDA# 84.215F.

**2. Table of Contents.** Include a one-page table of contents.

**3. Program Abstract.** Provide a one-page, double-spaced abstract that describes the need to be addressed by the project, summarizes the proposed activities, and identifies the intended outcomes.

**4. Program Narrative.** Applicants should provide a program narrative that describes the proposed project, including the goals, objectives and activities. The narrative should address all criteria and all of the factors under each criterion. The narrative section should be limited to **25 typed pages**. The paper size shall be 8 ½ x 11 inches. The pages must be numbered, double-spaced, printed only on one side, with a one inch margin. The font size should be no smaller than 12-point type. It is in the best interest of the applicants to ensure that the narrative section is easily read, logically developed in accordance with the selection criteria, and fully addresses each rating factor.

**5. Budget.** Use the Budget Information Form (ED Form 524), or facsimile, to prepare a complete budget for the project. Provide amounts for all major budget categories.

**6. Budget Narrative.** Applicants should provide a detailed explanation for all funds requested on the Budget Form (ED Form 524). Costs should be broken down according to the categories on the budget summary form. Explain the basis used to estimate all costs for each budget category. Provide a detailed explanation for any costs that appear unusual and describe how those costs relate to the proposed activities. The narrative should provide enough detail for reviewers to easily understand how costs were determined and how they relate to the goals and objectives of the project.



## C. Assurances

This application package includes the following—Assurances-Non-Construction Programs Certification and Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (Standard Form 424B, ED 80-013). **By signing the Standard Form 424B, the applicant agrees to abide by requirements regarding drug-free workplace, debarment, and environmental tobacco smoke.**

## D. Appendices

This section should include only supplemental information or required supporting documentation that addresses the applicant's capacity to carry out the proposed project such as resumes; letters of agreement with cooperating entities (if appropriate); summary evaluation results or other materials. DO NOT include budget or program narrative information in this section

The following items should be included as appendices to the application.

### **Equitable Access and Participation**

Section 427 of the General Education Provision Act (GEPA) affects applicants under this program. All applicants must include information in their applications to address this provision in order to receive funding under this program.

Section 427 requires each applicant (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers might prevent your students, teachers, etc. from such access to or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or if appropriate, may be discussed in connection with related topics in the application. Each application should include this description in a clearly identified section of the appendix. It should support the discussion of similar issues in the narrative section of the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use Federal funds awarded to it to eliminate barriers it identifies.

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it would make the materials available on audiotape or in Braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that the girls may be less likely than boys to enroll in the course might indicate how it intends to conduct "outreach" efforts to girls to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

[The paperwork burden for compliance with Section 427 of GEPA is recorded under OMB Control No. 1801-0004 (Expiration Date 11/30/2003). The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, 20202-4651.]

**Note: A statement about the applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement.**

### **Forms**

The following forms are required in all applications and are included in this package:

- Application for Federal Education Assistance (**ED Form 424**)
- Budget Information Form (**ED Form 524**)
- Assurances - Non-Construction Programs (**Standard Form 424B**)
- Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements (**ED Form 80-0013**)
- Disclosure of Lobbying Activities (**Standard Form LLL**)
- Lower Tier Covered Transactions (**ED Form 80-0014**)

Forms may be photocopied. Forms are also available electronically from the following Web site: <http://www.ed.gov/GrantApps/>.

### **Other Attachments**

Other attachments are not encouraged. Supplemental materials such as videotapes, CD-ROMs, files on disks, commercial publications, press clippings, and testimonial letters will not be reviewed and will not be returned to the applicant.

## **VI. FREQUENTLY ASKED QUESTIONS**

### **If my State does not have physical education content standards can I use national standards?**

No. If your State does not have content standards for physical education you must use the content standards for another State. Be sure to identify in your application the State whose standards you are using.

### **Can I use the funds to build a gymnasium or other facility? (i.e. swimming pool, tennis courts, tracks, or other fields)**

The authorizing legislation permits funds to be used only for training and education of teachers and staff and providing equipment and support to enable students to participate actively in PE. Facilities construction such as tennis courts, volleyball courts, basketball courts, swimming pools, gymnasiums, and other permanent structures is not an allowable expense.

### **Can I use these funds to staff a PE or after school program ?**

These funds may not be used to hire new PE teachers or other staff to run PE programs.

### **Can I use national data to support the need for a grant in my district?**

Needs assessments must be based on identified needs of the specific target population to be served and must link to gaps and weaknesses in meeting your state's standards. National data may not be used.

### **Do I have to get bids for goods and services under this grant?**

You are required to follow your organization's established procurement procedures. If you are unclear about those procedures, consult your organization's business or finance office.

### **Can the money be used to purchase land, a building or other facility?**

No. See response to question above for information on allowable uses of funds.

### **What kind of equipment can I purchase with these funds?**

Under this program you may purchase equipment that is designed for use either for programs or staff training as part of a physical education curriculum. Examples of equipment for PE programs might be treadmills, stair master, or other equipment used for conditioning or measuring fitness.

### **What is the definition of equipment?**

For the purposes of the Carol M. White Physical Education Program equipment means any kind of durable goods that might be used to support a physical education program,

**How do you submit a signed face sheet (and other required forms) as part of the electronic application submission?**

If you are submitting an electronic application, you are required to fax the signed face page and the required assurances to the Department of Education in accordance with the instructions listed elsewhere in this application package.

**Does the in-kind match have to be cash? What types of resources can be used as the required match?**

No. The matching requirement can be met by using other non-Federal resources such as donated staff time or salary for the Project Director to perform administrative oversight of this project. Another example of an acceptable match is the cost of substitutes while teachers are being trained. Note that the salaries of your current PE teachers not cannot be used to satisfy the matching requirement.

**Can I submit an application on behalf of my local school or does it have to be submitted by the district?**

Eligible applicants are local educational agencies and community-based organizations. Applications submitted by individual schools will not be read.

**May I use funds from this grant to provide nutritious snacks for students?**

No, funds may not be used to purchase food, provide incentives for participation, or purchase any other item not directly related to training teachers and staff and purchasing equipment.

## VII. INSTRUCTIONS FOR TRANSMITTING APPLICATIONS

**Note:** Some of the procedures in these instructions for transmitting applications differ from those in the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.102). Under the Administrative Procedure Act (5 U.S.C. 553), the Department generally offers interested parties the opportunity to comment on proposed regulations. However, these amendments make procedural changes only and do not establish new substantive policy. Therefore, under 5 U.S.C. 553(b)(A), the Secretary has determined that proposed rulemaking is not required.

### **Pilot Project for Electronic Submission of Applications**

In Fiscal Year 2003, the U.S. Department of Education is continuing to expand its pilot project for electronic submission of applications to include additional formula grant programs and additional discretionary grant competitions. The Carol M. White Physical Education for Progress Grant Competition (CFDA #84.215F) is one of the programs included in the pilot project. If you are an applicant under the Carol M. White Physical Education for Progress Grant Competition, you may submit your application to us in either electronic or paper format.

The pilot project involves the use of the Electronic Grant Application System (e-Application) portion of the Grant Administration and Payment System (GAPS). Users of e-Application will be entering data on-line while completing their applications. You may not e-mail a soft copy of a grant application to us. If you participate in this voluntary pilot project by submitting an application electronically, the data you enter on-line will be saved into a database. We request your participation in e-Application. We shall continue to evaluate its success and solicit suggestions for improvement.

If you participate in this e-Application pilot, please note the following:

- Your participation is voluntary.
- You will not receive any additional point value because you submit a grant application in electronic format, nor will we penalize you if you submit your application in paper format. When you enter the e-Application system, you will find information about its hours of operation.
- You may submit all documents electronically, including the Application for Federal Education Assistance (ED 424), Budget Information—Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- After you electronically submit your application, you will receive an automatic acknowledgement, which will include a PR/Award number (an identifying number unique to your application).
- Within three working days after submitting your electronic application, fax a signed copy of the Application for Federal Education Assistance (ED 424) after following these steps.
  1. Print ED 424 from the e-Application system.
  2. The institution's Authorizing Representative must sign this form.
  3. Place the PR/Award number in the upper right hand corner of the hard copy signature page of the ED 424.
  4. Fax the signed ED 424 to the Application Control Center at 202/260-1349.
- We may request that you give us original signatures on all other forms at a later date.

- Closing Date Extension in Case of System Unavailability: If you elect to participate in the e-Application pilot for the Carol M. White Physical Education for Progress Grant Competition and you are prevented from submitting your application on the closing date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. For us to grant this extension:

- (1) You must be a registered user of e-Application, and have initiated an e-Application for this competition; and
- (2) (a) The e-Application system must be unavailable for 60 minutes or more between the hours of 8:30am and 3:30pm (Eastern Time), on the deadline date; or
- (2) (b) The e-Application system must be unavailable for any period of time during the last hour of operation (that is, for any period of time between 3:30pm and 4:30pm (Eastern Time)) on the deadline date. The Department must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension you must contact either (1) Ethel Jackson by e-mail ([ethel.jackson@ed.gov](mailto:ethel.jackson@ed.gov)) and/or telephone (202/260-2812) or (2) the e-Grants help desk at 888/336-8930.

You may access the electronic grant application for the Carol M. White Physical Education for Progress Grant Competition at <http://e-grants.ed.gov>.

We have included additional information about the e-Application pilot project (see Parity Guidelines between Paper and Electronic Applications) elsewhere in this package.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

If You Send Your Application by Mail

You must mail the original and two copies of the application on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. Mail your application to U.S. Department of Education, Application Control Center, Attention: CFDA #84.215F, ROB 3 – Room 3671, 7<sup>th</sup> and D Streets, SW, Washington, DC 20202-4725.

You must show one of the following as proof of mailing.

1. A legibly dated U.S. Postal Service postmark
2. A legible mail receipt with the date of mailing stamped by the U.S. Postal Service
3. A dated shipping label, invoice, or receipt from a commercial carrier
4. Any other proof of mailing acceptable to the Secretary

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing.

1. A private metered postmark
2. A mail receipt that is not dated by the U.S. Postal Service

### If You Deliver Your Application by Hand

You or your courier must hand deliver the original and two copies of the application by 4:30pm (Eastern Time) on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. Deliver your application to U.S. Department of Education, Application Control Center, Attention: CFDA #84.215F, ROB 3 – Room 3671, 7<sup>th</sup> and D Streets, SW, Washington, DC 20202-4725.

**The Application Control Center accepts application deliveries daily between 8:00am and 4:30pm (Eastern Time), except Saturdays, Sundays, and Federal holidays. The Center accepts application deliveries through the D Street entrance only. A person delivering an application must show identification to enter the building.**

### If You Submit Your Application Electronically

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30pm (Eastern Time) on the deadline date.

The regular hours of operation of the e-Grants Web site are 6:00am until 12:00 midnight (Eastern Time) Monday-Friday and 6:00am until 7:00pm (Eastern Time) Saturdays. The system is unavailable on the second Saturday of every month, Sundays, and Federal holidays. Please note that on Wednesdays the Web site is closed for maintenance at 7:00pm (Eastern Time).

### Notes

1. The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.
2. If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you. If you do not receive the notification of application receipt within 15 days from the date of mailing the application, you should call the U.S. Department of Education Application Control Center at 202/708-9493.
3. If your application is late, we will notify you that we will not consider the application.
4. You must indicate on the envelope and, if not provided by the Department, in Item 4 of the Application for Federal Education Assistance (ED 424 (exp. 11/30/2004)) the CFDA number, and suffix letter, if any, of the competition under which you are submitting your application.
5. If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgement when we receive your application.

### Parity Guidelines Between Paper and Electronic Applications

In Fiscal Year 2003, the U.S. Department of Education is continuing to expand the pilot project that allows applicants to use an Internet-based electronic system for submitting applications. This competition is among those that have an electronic submission option available to all applicants. The system, called e-Application, allows an applicant to submit a grant application to us electronically, using a current version of the applicant's Internet browser. To see e-Application, visit the following address: <http://e-grants.ed.gov>.

Users of e-Application, a data driven system, will be entering data on-line while completing their applications. This will be more interactive than just e-mailing a soft copy of a grant application to us. If you participate in this voluntary pilot project by submitting an application electronically,

the data you enter on-line will go into a database and ultimately will be accessible in electronic form to our reviewers.

This pilot project continues the Department's transition to an electronic grant award process. In addition to e-Application, the Department plans to expand the number of discretionary programs using the electronic peer review (e-Reader) system and to increase the participation of discretionary programs offering grantees the use of the electronic annual performance reporting (e-Reports) system. To help ensure parity and a similar look between electronic and paper copies of grant applications, we are asking each applicant that submits a paper application to adhere to the following guidelines.

- Submit your application on 8 ½" by 11" paper.
- Leave a one-inch margin on all sides.
- Use consistent font throughout your document. You also may use boldface type, underlining, and italics. However, please do not use colored text.
- Please also use black and white for illustrations, including charts, tables, graphs, and pictures.
- For the narrative component, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.
- Place a page number at the bottom right of each page beginning with 1, and number your pages consecutively throughout your document.

### **Number of Copies of Applications**

All applicants are required to submit one signed original and two copies of their applications (**unbound**). To expedite our review of your application, you also are requested to submit one additional copy, but are not required to do so and will not be penalized.

**Special Note:** Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U. S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under "Applications Sent by Mail," then follow the instructions for "Applications Delivered by Hand."

### **Grant Application Receipt Acknowledgement**

If you fail to receive the notification of application receipt within fifteen (15) days from the closing date, call the U.S. Department of Education's Application Control Center at (202) 708-9493.



## VIII. INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS

This program is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One objective of the Executive Order is to foster an intergovernmental partnership and to strengthen federalism by relying on processes for State and local governments for coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact (SSPOC) to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing of the Single Point of Contacts for each State is included in this application package. **A copy of the applicant's letter to the State Single Point of Contact must be included with the application.**

In States that have not established a process or chosen a program for review, State, area-wide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, area-wide, regional, and local entities must be received by July 12, 2003, to the following address: The Secretary, EO 12372--CFDA# 84.215F, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7W300, Washington, DC 20202-0124. Recommendations or comments may be hand-delivered until 4:30pm (Eastern Time) on July 12, 2003. Please do not send applications to this address.

### State Single Points of Contact

#### ARKANSAS

Tracy L. Copeland  
Manager, State Clearinghouse  
Office of Intergovernmental Services  
Department of Finance and Administration  
1515 West 7<sup>th</sup> Street, Room 412  
Little Rock, AR 72203  
Phone: 501/682-1074  
Fax: 501/682-5206  
E-mail: [tlcopeland@dfa.state.ar.us](mailto:tlcopeland@dfa.state.ar.us)

#### CALIFORNIA

Grants Coordination  
State Clearinghouse  
Office of Planning and Research  
P.O. Box 3044, Room 222  
Sacramento, CA 95812-3044  
Phone: 916/445-0613  
Fax: 916/323-3018  
E-mail: [state.clearinghouse@opr.ca.gov](mailto:state.clearinghouse@opr.ca.gov)

#### DELAWARE

Charles H. Hopkins  
Executive Department  
Office of the Budget  
540 South Dupont Highway, 3<sup>rd</sup> Floor  
Dover, DE 19901  
Phone: 302/739-3323  
Fax: 302/739-5661  
E-mail: [chopkins@state.de.us](mailto:chopkins@state.de.us)

#### DISTRICT OF COLUMBIA

Luisa Montero-Diaz  
Office of Partnerships and Grants Development  
Executive Office of the Mayor  
District of Columbia Government  
441 4<sup>th</sup> Street, NW, Suite 530 South  
Washington, DC 20001  
Phone: 202/727-8900  
Fax: 202/727-1652  
E-mail: [opgd.eom@dc.gov](mailto:opgd.eom@dc.gov)

**FLORIDA**

Jasmine Raffington  
Florida State Clearinghouse  
Department of Community Affairs  
2555 Shumard Oak Boulevard  
Tallahassee, FL 32399-2100  
Phone: 850/922-5438  
Fax: 850/414-0479  
E-mail: [clearinghouse@dca.state.fl.us](mailto:clearinghouse@dca.state.fl.us)

**GEORGIA**

Georgia State Clearinghouse  
270 Washington Street, SW  
Atlanta, GA 30334  
Phone: 404/656-3855  
Fax: 404/656-7901  
E-mail: [gach@mail.opb.state.ga.us](mailto:gach@mail.opb.state.ga.us)

**ILLINOIS**

Virginia Bova  
Dept. of Commerce and Community Affairs  
James R. Thompson Center  
100 West Randolph, Suite 3-400  
Chicago, IL 60601  
Phone: 312/814-6028  
Fax: 312/814-8485  
E-mail: [vbova@commerce.state.il.us](mailto:vbova@commerce.state.il.us)

**IOWA**

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Iowa Department of Economic Development  
200 East Grand Avenue  
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Fax: 515/242-4809  
E-mail: [steve.mccann@ided.state.ia.us](mailto:steve.mccann@ided.state.ia.us)

**KENTUCKY**

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Department for Local Government  
1024 Capital Center Drive, Suite 340  
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**MAINE**

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**MARYLAND**

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**MICHIGAN**

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Southeast Michigan Council of Governments  
535 Griswold, Suite 300  
Detroit, MI 48226  
Phone: 313/961-4266  
Fax: 313/961-4869  
E-mail: [pfaff@semcog.org](mailto:pfaff@semcog.org)

**MISSISSIPPI**

Cathy Mallette  
Clearinghouse Officer  
Department of Finance and Administration  
1301 Woolfolk Building, Suite E  
501 North West Street  
Jackson, MS 39201  
Phone: 601/359-6762  
Fax: 601/359-6758

**MISSOURI**

Angela Boessen  
Federal Assistance Clearinghouse  
Office of Administration  
P.O. Box 809  
Truman Building, Room 840  
Jefferson City, MO 65102  
Phone: 573/751-4834  
Fax: 573/522-4395  
E-mail: [igr@mail.oa.state.mo.us](mailto:igr@mail.oa.state.mo.us)

**NEVADA**

Heather Elliott  
Department of Administration  
State Clearinghouse  
209 East Musser Street, Room 200  
Carson City, NV 89701  
Phone: 775/684-0209  
Fax: 775/684-0260  
E-mail: [helliott@govmail.state.nv.us](mailto:helliott@govmail.state.nv.us)

**NEW HAMPSHIRE**

Jeffrey H. Taylor  
Director  
New Hampshire Office of State Planning  
Attn: Intergovernmental Review Process  
2½ Beacon Street  
Concord, NH 03301  
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Fax: 603/271-1728  
E-mail: [jtaylor@osp.state.nh.us](mailto:jtaylor@osp.state.nh.us)

**NEW MEXICO**

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Local Government Division  
Room 201, Bataan Memorial Building  
Santa Fe, NM 87503  
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**NORTH CAROLINA**

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**NORTH DAKOTA**

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**RHODE ISLAND**

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**SOUTH CAROLINA**

Omeagia Burgess  
Budget and Control Board  
Office of State Budget  
1122 Ladies Street, 12<sup>th</sup> Floor  
Columbia, SC 29201  
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**TEXAS**

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**UTAH**

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Governor's Office of Planning and Budget  
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**WEST VIRGINIA**

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#### **WISCONSIN**

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#### **AMERICAN SAMOA**

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Office of the Governor/Dept. of Commerce  
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#### **GUAM**

Director  
Bureau of Budget and Management Research  
Office of the Governor  
P.O. Box 2950  
Agana, GU 96910  
Phone: 011-671-472-2285  
Fax: 011-671-472-2825

#### **PUERTO RICO**

Jose Caballero/Mayra Silva  
Puerto Rico Planning Board  
Federal Proposals Review Office  
Minillas Government Center  
P.O. Box 41119  
San Juan, PR 00940-1119  
Phone: 787/723-6190  
Fax: 787/722-6783

#### **NORTH MARIANA ISLANDS**

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Fax: 670/664-2272  
[omb.jseman@saipan.com](mailto:omb.jseman@saipan.com)

#### **VIRGIN ISLANDS**

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Director, Office of Management and Budget  
#41 Norre Gade Emancipation Garden Station,  
2<sup>nd</sup> Floor  
St. Thomas, VI 00802  
Phone: 340/774-0750  
Fax: 340/776-0069  
E-mail: [irmills@usvi.org](mailto:irmills@usvi.org)

Note: This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to Sherron Duncan at 202/395-3120 at the Office of Management and Budget and to the State in question. Changes to the list will only be made upon formal notification by the State. The list also is published biannually in the Catalog of Federal Domestic Assistance.

## **IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS IN U.S. DEPARTMENT OF EDUCATION CONTRACT AND GRANT PROGRAMS**

### **GRANTS**

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

**Failure to meet a deadline will mean that an applicant will be rejected without any consideration.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. Six-month or one-year subscriptions to the daily, official Federal Register may be ordered from the U.S.

Government Printing Office at the following Web site: <http://bookstore.gpo.gov/regulatory/fed-reg.html>. The Federal Register Complete Service also is available in microfiche on the same Web page. In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access:

<http://www.access.gpo.gov/nara>. Depository Library location and Federal Register services:  
[http://www.archives.gov/federal\\_register/index.html](http://www.archives.gov/federal_register/index.html).

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. Questions regarding submission of applications may be addressed to: U.S. Department of Education, Application Control Center, Washington, D.C. 20202-4725.

### **CONTRACTS**

Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFPs are now available on-line for downloading at the following Web site: <http://www.ed.gov/offices/OCFO/contracts/2cbd.html>.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal, which is non-responsive to the RFP. Six-month or one-year subscriptions to the CBD may be ordered from the U.S. Government Printing Office at the following Web site: <http://bookstore.gpo.gov/regulatory/cbd.html>. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1. The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371.

In addition, the Commerce Business Daily is available on-line for free at the following Web site: <http://cbdnet.access.gpo.gov>. The Federal Acquisition Regulations are available on-line at the following Web site: <http://www.arnet.gov/far>.

## **GRANT APPLICATION RECEIPT ACKNOWLEDGMENT**

If you fail to receive the notification of application receipt within 15 days from the closing date, call the U.S. Department of Education's Application Control Center at 202/708-9493.

## **GRANT AND CONTRACT FUNDING INFORMATION**

The Department of Education provides information about grant and contract opportunities electronically in several ways:

Department of Education Web site - <http://www.ed.gov>  
Office of the Chief Financial Officer Web Page – <http://www.ed.gov/offices/OCFO/>

## **D-U-N-S NUMBER INSTRUCTIONS**

The D-U-N-S Number is a unique nine-digit number provided by Dun & Bradstreet that does not convey any information about the recipient. A built-in check helps to ensure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

If you do not currently have a D-U-N-S Number you can obtain one at no charge by calling 800/333-0505 or by completing a D-U-N-S Number Request Form on the Internet at the following Web site: <http://www.dnb.com>.

## **IX. APPENDICES AND FORMS**

➤ **APPENDIX I**

**AUTHORIZING LEGISLATION  
SECTION 5501, PART D, SUBPART 10  
TITLE V , ESEA**

**SUBPART 10—PHYSICAL EDUCATION**

**SEC. 5501. SHORT TITLE.**

This subpart may be cited as the “Carol M. White Physical Education Program”.

**SEC. 5502. PURPOSE.**

The purpose of this subpart is to award grants and contracts to initiate, expand, and improve physical education programs for all kindergarten through 12<sup>th</sup> grade students.

**SEC. 5503. PROGRAM AUTHORIZED.**

(A) **AUTHORIZATION**—The Secretary is authorized to award grants to local educational agencies and community-based organizations (such as Boys and Girls Clubs, Boy Scouts, and the Young Men’s Christian Association (YMCA) and Young Women’s Christian Association (YWCA) to pay the Federal share of the costs of initiating, expanding, and improving physical education programs (including after-school programs) for kindergarten through 12<sup>th</sup> grade students by—

- (1) providing equipment and support to enable students to participate actively in physical education activities; and
- (2) providing funds for staff and teacher training and education.

(B) **PROGRAM ELEMENTS**—A physical education program funded under this subpart may provide for one or more of the following:

- (1) Fitness education and assessment to help students understand, improve, or maintain their physical well-being.
- (2) Instruction in a variety of motor skills and physical activities designed to enhance the physical, mental and social or emotional development of every student.
- (3) Development of, and instruction in, cognitive concepts about motor skill and physical fitness that support a lifelong healthy lifestyle.
- (4) Opportunities to develop positive social and cooperative skills through physical activity participation
- (5) Instruction in healthy eating habits and good nutrition.
- (6) Opportunities for professional development for teachers of physical education to stay abreast of the latest research, issues, and trends in the field of physical education

(C ) **SPECIAL RULE**—For the purposes of this subpart, extracurricular activities, such as team sports and Reserve Officers’ Training Corps (ROTC) program activities, shall not be considered as part of the curriculum of a physical education program assisted under this subpart.



## **SEC. 5504. APPLICATIONS.**

(A) **SUBMISSION**—Each local educational agency or community-based organization desiring a grant or contract under this subpart shall submit to the Secretary an application that contains a plan to initiate, expand, or improve physical education programs in order to make progress toward meeting State standards for physical education.

(B) **PRIVATE SCHOOL AND HOME-SCHOOLED STUDENTS**—An application for funds under this subpart may provide for the participation, in the activities funded under this subpart, of--

- (1) students enrolled in private nonprofit elementary schools or secondary schools, and their parents and teachers; or
- (2) home-schooled students, and their parents and teachers

## **SEC. 5505. REQUIREMENTS.**

(A) **ANNUAL REPORT TO THE SECRETARY**—In order to continue receiving funding after the first year of a multiyear grant or contract under this subpart, the administrator of the grant or contract for the local educational agency or community-based organization shall submit to the Secretary an annual report that—

- (1) describes the activities conducted during the preceding year; and
- (2) demonstrates that progress has been made toward meeting state standards for physical education..

(B) **ADMINISTRATIVE EXPENSES**—Not more than 5 percent of the grant funds made available to a local educational agency or community-based organization under this subpart for any fiscal year may be used for administrative expenses.

## **SEC. 5506. ADMINISTRATIVE PROVISIONS.**

(A) **FEDERAL SHARE**—The Federal share under this subpart may not exceed--

- (1) 90 percent of the total cost of a program for the first year for which the program receives assistance under this subpart, and
- (2) 75 percent of such costs for the second and each subsequent such year.

(B) **PROPORTIONALITY**—To the extent practicable, the Secretary shall ensure that grants awarded under this subpart shall be equitably distributed among local educational agencies and community-based organizations serving urban and rural areas.

(C ) **REPORT TO CONGRESS**—Not later than June 1, 2003, the Secretary shall submit a report to Congress that—

- (1) describes the programs assisted under this subpart;
- (2) documents the success of such programs in improving physical fitness; and
- (3) makes such recommendations as the Secretary determines appropriate for the continuation and improvement of the programs assisted under this subpart.

(A) **AVAILABILITY OF FUNDS**—Amounts made available to the Secretary to carry out this subpart shall remain available until expended.

**SEC. 5507. SUPPLEMENT, NOT SUPPLANT.**

Funds made available under this subpart shall be used to supplement, and not supplant, any other Federal, State, or local funds available for physical education activities.

# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1875-0106  
Exp. 11/30/2004

## Applicant Information

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number | | | | | | | | | |

3. Applicant's T-I-N | | | - | | | | | | | |

4. Catalog of Federal Domestic Assistance #: **84.2** | **1** | **5** | **F** |

Title: Carol M. White Physical Education for Progress

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

City State Zip code + 4

Tel. #: ( ) - Fax #: ( ) -

E-Mail Address: \_\_\_\_\_

### Organizational Unit

6. Novice Applicant \_\_\_ Yes \_\_\_ No

7. Is the applicant delinquent on any Federal debt? \_\_\_ Yes \_\_\_ No  
(If "Yes," attach an explanation.)

8. Type of Applicant (Enter appropriate letter in the box.) | |

A - State F - Independent School District  
B - Local G - Public College or University  
C - Special District H - Private, Nonprofit College or University  
D - Indian Tribe I - Nonprofit Organization  
E - Individual J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

## Application Information

### 9. Type of Submission:

-Preapplication -Application  
\_\_\_ Construction \_\_\_ Construction  
\_\_\_ Non-Construction \_\_\_ Non-Construction

### 10. Is application subject to review by Executive Order 12372 process?

\_\_\_ Yes (Date made available to the Executive Order 12372  
process for review): \_\_\_/\_\_\_/\_\_\_  
\_\_\_ No (If "No," check appropriate box below.)  
\_\_\_ Program is not covered by E.O. 12372.  
\_\_\_ Program has not been selected by State for review.

11. Proposed Project Dates: \_\_\_/\_\_\_/\_\_\_  
Start Date End Date

12. Are any research activities involving human subjects planned at  
any time during the proposed project period?  
\_\_\_ Yes (Go to 12a.) \_\_\_ No (Go to item 13.)

12a. Are all the research activities proposed designated to be  
exempt from the regulations?  
\_\_\_ Yes (Provide Exemption(s) #): \_\_\_\_\_  
\_\_\_ No (Provide Assurance #): \_\_\_\_\_

### 13. Descriptive Title of Applicant's Project:

## Estimated Funding

14a. Federal \$ . 00  
b. Applicant \$ . 00  
c. State \$ . 00  
d. Local \$ . 00  
e. Other \$ . 00  
f. Program Income \$ . 00  
g. TOTAL \$ . 00

## Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true  
and correct. The document has been duly authorized by the governing body of the applicant  
and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: \_\_\_\_\_

c. Tel. #: ( ) - Fax #: ( ) -

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative

Date: \_\_\_/\_\_\_/\_\_\_



## Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
  - 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
  - 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
  - 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.
- Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans, and taxes.) Otherwise, check "No."
  - 8. Type of Applicant.** Enter the appropriate letter in the box provided.
  - 9. Type of Submission.** See "Definitions for Form ED 424" attached.
  - 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
  - 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
  - 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

**If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

**If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

**12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**13. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

**14. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in

parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

**15. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a

collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1875-0106**. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

## Definitions for Form ED 424

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and

review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of Executive Order 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on Executive Order 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as*

*occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]*

## **B. Exemptions.**

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked "Yes" for Item 12 on the ED 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked "Yes" for item 12 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of



human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

## **B. Nonexempt Research Narrative.**

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

**(1) Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

**(2) Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

**(3) Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

**(4) Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

**(5) Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate,

discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

**(6) Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

**(7) Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: 202/708-8263, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>.*

**U.S. DEPARTMENT OF EDUCATION****BUDGET INFORMATION****NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004

Expiration Date: Pending

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.
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<b>SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS</b>
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Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

<b>SECTION C - OTHER BUDGET INFORMATION (see instructions)</b>
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Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

## **INSTRUCTIONS FOR ED FORM 524**

### **General Instructions**

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

#### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

#### Section B - Budget Summary

### **Non-Federal Funds**

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

#### Section C - Other Budget Information

Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, AAudits of States, Local Governments, and Non-Profit Organizations.≡
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED



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**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER  
RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

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**1. LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

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**2. DEBARMENT, SUSPENSION, AND OTHER  
RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly

charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

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**3. DRUG-FREE WORKPLACE  
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Check ☐ if there are workplaces on file that are not identified here.

## **DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

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As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

### Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> _____ a. contract _____ b. grant _____ c. cooperative agreement _____ d. loan _____ e. loan guarantee _____ f. loan insurance	<b>2. Status of Federal Action:</b> _____ a. bid/offer/application _____ b. initial award _____ c. post-award	<b>3. Report Type:</b> _____ a. initial filing _____ b. material change  <b>For material change only:</b> Year _____ quarter _____ Date of last report _____
<b>4. Name and Address of Reporting Entity:</b> _____ Prime _____ Subawardee _____ Tier _____, if Known:  <b>Congressional District, if known:</b>	<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>   <b>Congressional District, if known:</b>	
<b>6. Federal Department/Agency:</b>	<b>6. Federal Program Name/Description:</b>	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b>  \$	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only</b>	<b>Authorized for Local Reproduction</b> <b>Standard Form - LLL (Rev. 7-97)</b>	

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State, and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

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**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion -- Lower Tier Covered Transactions**

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This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

### Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled ☐ Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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### Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE



Survey on Ensuring Equal  
Opportunity  
**FOR APPLICANTS**

*Do not enter information below unless instructed to do so.*

OMB No. 1890-0014 Exp. 1/31/2006

**Purpose:** This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

**Instructions for Submitting Survey**

**If submitting hard copy**, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

**If submitting electronically**, please include the PR Award Number assigned to your e-application in the box above entitled "*Do not enter information below unless instructed to do so.*" Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7<sup>th</sup> and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

1. Does the applicant have 501(c)(3) status?

☐

Yes

☐

No

2. How many full-time equivalent employees does the applicant have? *(Check only one box).*

☐

3 or Fewer

☐

15-50

☐

4-5

☐

51-100

☐

6-14

☐

over 100

3. What is the size of the applicant's annual budget? *(Check only one box.)*

☐

Less Than \$150,000

☐

\$150,000 - \$299,999

☐

\$300,000 - \$499,999

☐

\$500,000 - \$999,999

☐

\$1,000,000 - \$4,999,999

☐

\$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐

Yes

☐

No

5. Is the applicant a non-religious community-based organization?

☐

Yes

☐

No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐

Yes

☐

No

7. Has the applicant ever received a government grant or contract (Federal, State, or local )?

☐

Yes

☐

No

8. Is the applicant a local affiliate of a national organization?

☐

Yes

☐

No

## Survey Instructions on Ensuring Equal Opportunity for Applicants

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An “intermediary” is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7<sup>th</sup> and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.



For Further Information Contact:

Ethel F. Jackson  
U.S. Department of Education  
Office of Safe and Drug-Free Schools  
400 Maryland Avenue, SW - 3E308  
Washington, D.C. 20202-6450  
(202) 260-2812  
E-mail: [ethel.jackson@ed.gov](mailto:ethel.jackson@ed.gov)  
or  
[pat.rattler@ed.gov](mailto:pat.rattler@ed.gov)

Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) @ 1-800-877-8339 Monday through Friday between 8:00 a.m. and 8:00 p.m. (EDT).

Information about other funding opportunities, including copies of application notices for discretionary grants competitions, can be viewed on the Department's electronic bulletin board (ED Board), telephone (202) 260-9950; or on the Internet Gopher Service (under Announcements, Bulletins, and Press Releases); or on the World Wide Web at <http://www.ed.gov/money.html>.

## APPLICATION PACKAGE CHECKLIST

**APPLICATIONS MUST BE TRANSMITTED NO LATER THAN**

**May 12, 2003**

### CHECK:

- \_\_\_\_\_ The Application Title Page has been completed according to the instructions on the back of the title page.
- \_\_\_\_\_ The Application Title Page has been **signed and dated by an authorized official** and the signed original has been included with your submission.
- \_\_\_\_\_ Submit one (1) signed original and two (2) copies of the application. Applicants are requested but not required to submit an additional two (2) copies of the application. **All sections of the application must be suitable for photocopying to be included in the review (at least one copy of the application should be unbound and suitable for photocopying).**

EACH COPY OF THE APPLICATION SHOULD INCLUDE THE FOLLOWING SECTIONS:

#### **The Application**

- \_\_\_\_\_ the title page form
- \_\_\_\_\_ table of contents
- \_\_\_\_\_ narrative
- \_\_\_\_\_ the budget information form
- \_\_\_\_\_ detailed budget justification

#### **The Appendix**

- \_\_\_\_\_ list of project personnel
- \_\_\_\_\_ one-page abstract
- \_\_\_\_\_ GEPA 427
- \_\_\_\_\_ certifications and assurances

### **ADDRESS AND DEADLINE TRANSMITTAL DATE**

U.S. Department of Education  
Application Control Center  
Attention: **CFDA# 84.215F**  
Room 3633, Regional Office Building 3  
7th & D Streets, SW  
Washington, DC 20202-4725  
Telephone: 202-708-9493

**All applications must be transmitted by May 12, 2003.**